



**Due date: April 30, 2007**

## **Mid-Term Progress Review Guidance**

At a minimum, ITA rating officials must conduct one formal progress review with each of their employees at approximately the midpoint of the appraisal period. The required formal progress reviews must be conducted no sooner than 120 days from the [implementation of the performance plan](#). If an employee has not been in their position for at least 120-days, then formal progress reviews should be conducted as soon as the employee has reached 120 days.

Employees may also request (or supervisors may schedule) additional progress reviews. **Rating officials are advised to document progress reviews in narrative format utilizing the [CD-430 part \(c\)](#).** This serves both the employee and the rating official as an official document to refer back to if necessary and to continue to monitor required performance improvement and progress, as well as feedback discussed in the Progress Review meeting.

### **Employee Responsibilities**

Prior to the progress review meeting with his or her rating official, the employee is strongly encouraged to document in writing his or her accomplishments since the last formal performance meeting with his or her rating official.

### **Discussion**

At each progress review, the following occurs:

- Discussion about the employee's progress toward meeting elements included in his or her performance plan and how that progress is measured against the achievement of the organizational goals;
- Identification of any performance deficiencies and recommendations on how to improve;
- Review of the plan to determine the need for changes in the plan based on changes in responsibilities;
- Discussion of the developmental/training goals or objectives; and
- Documentation by the rating official of changes to the original performance plan, including signatures and dates.

Both the supervisor and employee should date and initial the performance plan to indicate the progress review took place and a copy should be provided to the employee and placed in the employee's [EPF](#).

### **Deficient Progress – When Performance falls below a Level 3:**

A progress review must also be initiated by the rating official if an employee's performance on one or more critical elements falls below [Level 3](#). A Level 1 rating requires a written Performance Improvement Plan (PIP). While a Level 2 rating does not require a PIP, it is recommended that the rating official develop a written plan to assist the employee in improving performance to Level 3. In such a case, the rating official must discuss the instances of deficient performance and outline in writing what is required of the employee to bring his or her performance to [Level 3](#). Rating officials should consult with an Employee Relations Advisor in the Office of Human Resources Management (OHRM) to determine if this review should serve as the beginning of the formal opportunity period to improve performance required by 5 U.S.C. 4302(b)(6).

Contact phone numbers for OHRM's Employee Relations Advisors:

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**Mid-Term Questions & Answers (Q&As)** - [Click here](#) to read Q&As